

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	1880995
<b>Application Number:</b>	10001900
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	8995
<b>Title of Invention:</b>	Balancing arbitragable tracking securities
<b>First Named Inventor/Applicant Name:</b>	Steven M. Bloom
<b>Customer Number:</b>	26161
<b>Filer:</b>	Denis G. Maloney/Marie Collins
<b>Filer Authorized By:</b>	Denis G. Maloney
<b>Attorney Docket Number:</b>	09857-073001
<b>Receipt Date:</b>	18-JUN-2007
<b>Filing Date:</b>	14-NOV-2001
<b>Time Stamp:</b>	12:06:35
<b>Application Type:</b>	Utility

### Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 1330
RAM confirmation Number	5302
Deposit Account	061050

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)	Multi Part /.zip	Pages (if appl.)
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1		reply09857_073001.pdf	3053579	yes	15
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment - After Non-Final Rejection		1	1	
	Claims		2	7	
	Applicant Arguments/Remarks Made in an Amendment		8	15	
Warnings:					
Information:					
2	Extension of Time	ext09857_073001.pdf	133024	no	1
Warnings:					
Information:					
3	Information Disclosure Statement (IDS) Filed	ids09857_073001.pdf	646290	no	3
Warnings:					
Information:					
This is not an USPTO supplied IDS fillable form					
4	NPL Documents	NPL-1.pdf	773112	no	10
Warnings:					
Information:					
5	NPL Documents	NPL-2.pdf	158342	no	3
Warnings:					
Information:					
6	NPL Documents	NPL-3.pdf	288333	no	3
Warnings:					
Information:					
7	NPL Documents	NPL-4.pdf	169344	no	3
Warnings:					
Information:					

8	NPL Documents	NPL-5.pdf	152408	no	3
<b>Warnings:</b>					
<b>Information:</b>					
9	NPL Documents	NPL-6.pdf	152310	no	3
<b>Warnings:</b>					
<b>Information:</b>					
10	NPL Documents	NPL-7.pdf	461879	no	6
<b>Warnings:</b>					
<b>Information:</b>					
11	NPL Documents	NPL-8.pdf	147837	no	4
<b>Warnings:</b>					
<b>Information:</b>					
12	NPL Documents	NPL-9.pdf	698905	no	11
<b>Warnings:</b>					
<b>Information:</b>					
13	NPL Documents	NPL-10.pdf	227729	no	4
<b>Warnings:</b>					
<b>Information:</b>					
14	NPL Documents	NPL-11.pdf	129035	no	2
<b>Warnings:</b>					
<b>Information:</b>					
15	NPL Documents	NPL-12.pdf	1021524	no	12
<b>Warnings:</b>					
<b>Information:</b>					
16	NPL Documents	NPL-13.pdf	195103	no	3
<b>Warnings:</b>					
<b>Information:</b>					

17	NPL Documents	NPL-14.pdf	725561	no	10
<b>Warnings:</b>					
<b>Information:</b>					
18	NPL Documents	NPL-15.pdf	175699	no	4
<b>Warnings:</b>					
<b>Information:</b>					
19	Fee Worksheet (PTO-06)	fee-info.pdf	8559	no	2
<b>Warnings:</b>					
<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			9318573		
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b>          If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b>          If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b>          If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					